

JC962 U. S. PTO  
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PTO/SB/05 (01-00)

Approved for use through 10/31/2002. OMB 0651-0032  
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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

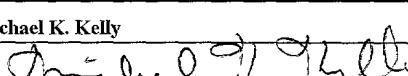
(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 29288.2700                                    |
| First Inventor         | Isao KAKUHARI, et al.                         |
| Title                  | SIGNAL PROCESSING DEVICE AND RECORDING MEDIUM |
| Express Mail Label No. | EL608985660US                                 |

| APPLICATION ELEMENTS  |   | ADDRESS TO:  |  |
|---|---|--|--|
| See MPEP chapter 600 concerning utility patent application contents.  |   | Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, D.C. 20231 |  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br>(Submit an original, and a duplicate for fee processing)   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)   |  |  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.   | 8. Nucleotide and/or Amino Acid Sequence Submission<br>(if applicable, all necessary)   |  |  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages 85]<br>(preferred arrangement set forth below)<br><br>- Descriptive title of the invention<br>- Cross Reference to Related Applications<br>- Statement Regarding Fed sponsored R & D<br>- Reference to sequence listing, a table, or a computer program listing appendix<br>- Background of the Invention<br>- Brief Summary of the Invention<br>- Brief Description of the Drawings (if filed)<br>- Detailed Description<br>- Claim(s)<br>- Abstract of the Disclosure | a. <input type="checkbox"/> Computer Readable Form (CRF)<br><br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or<br>ii. <input type="checkbox"/> paper<br><br>c. <input type="checkbox"/> Statements verifying identity of above copies |  |  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 40]   | 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))  |  |  |
| 5. Oath or Declaration [Total Pages 3]<br>a. <input checked="" type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br>(for continuation/divisional with Box 18 completed)<br>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).  | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney  |  |  |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  | 11. <input type="checkbox"/> English Translation Document (if applicable)   |  |  |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No.: _____ / _____   | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations   |  |  |
|   | 13. <input type="checkbox"/> Preliminary Amendment  |  |  |
|   | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)   |  |  |
|   | 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)  |  |  |
|   | 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  |  |  |
|   | 17. <input type="checkbox"/> Other: _____   |  |  |

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| 19. CORRESPONDENCE ADDRESS  |   |           |              |   |              |
|---|---|-----------|--------------|---|--------------|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label |   | 20322     |              | or <input type="checkbox"/> Correspondence address below<br>(Insert Customer No. or Attach bar code label here) |              |
| Name  | Michael K. Kelly<br>SNELL & WILMER, LLP       |           |              |   |              |
| Address   | One Arizona Center<br>400 E. Van Buren Street |           |              |   |              |
| City  | Phoenix                                       | State     | AZ           | Zip Code  | 85004-2202   |
| Country   | USA   | Telephone | 602-382-6291 | Fax   | 602-382-6070 |

|                   |   |                                   |        |           |
|-------------------|---|-----------------------------------|--------|-----------|
| Name (Print/Type) | Michael K. Kelly  | Registration No. (Attorney/Agent) | 32,848 |           |
| Signature         |  |                                   | Date   | 9/26/2001 |

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$804.00

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | To be assigned        |
| Filing Date          | September 26, 2001    |
| First Named Inventor | Isao KAKUHARI, et al. |
| Examiner Name        | To be assigned        |
| Group Art Unit       | To be assigned        |
| Attorney Docket No.  | 29288.2700            |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:Deposit Account Number **19-2814**  
Deposit Account Name **Snell & Wilmer, LLP** Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 Applicant claims small entity status See 37 CFR § 1.272.  Payment Enclosed: Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity              | Small Entity  | Fee Description   | Fee Paid |
|---------------------------|---------------|---|----------|
| Fee Code (\$)             | Fee Code (\$) | Fee Description   |          |
| 105                       | 130           | 205 65 Surcharge - late filing fee or oath  |          |
| 127                       | 50            | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                       | 130           | 139 130 Non - English specification   |          |
| 147                       | 2,520         | 147 2,520 For filing a request for ex parte reexamination                         |          |
| 112                       | 920*          | 112 920* Requesting publication of SIR prior to Examiner action                   |          |
| 113                       | 1,840*        | 113 1,840* Requesting publication of SIR after Examiner action                    |          |
| 115                       | 110           | 215 55 Extension for reply within first month                                     |          |
| 116                       | 390           | 216 195 Extension for reply within second month                                   |          |
| 117                       | 890           | 217 445 Extension for reply within third month                                    |          |
| 118                       | 1,390         | 218 695 Extension for reply within fourth month                                   |          |
| 128                       | 1,890         | 228 945 Extension for reply within fifth month                                    |          |
| 119                       | 310           | 219 155 Notice of Appeal  |          |
| 120                       | 310           | 220 155 Filing a brief in support of an appeal                                    |          |
| 121                       | 270           | 221 135 Request for oral hearing  |          |
| 138                       | 1,510         | 138 1,510 Petition to institute a public use proceeding                           |          |
| 140                       | 110           | 240 55 Petition to revive - unavoidable   |          |
| 141                       | 1,240         | 241 620 Petition to revive - unintentional  |          |
| 142                       | 1,240         | 242 620 Utility issue fee (or reissue)  |          |
| 143                       | 440           | 243 220 Design issue fee  |          |
| 144                       | 600           | 244 300 Plant issue fee   |          |
| 122                       | 130           | 122 130 Petitions to the Commissioner   |          |
| 123                       | 50            | 123 50 Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                       | 180           | 126 180 Submission of Information Disclosure Statement                            |          |
| 581                       | 40            | 581 40 Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                       | 710           | 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149                       | 710           | 249 355 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179                       | 710           | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169                       | 900           | 169 900 Request for expedited examination of a design application                 |          |
| Other fee (specify) _____ |               |   |          |

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity  | Small Entity  | Fee Description               | Fee Paid |
|---------------|---------------|-------------------------------|----------|
| Fee Code (\$) | Fee Code (\$) | Fee Description               | Fee Paid |
| 101           | 710           | 201 355 Utility filing fee    | 710.00   |
| 106           | 320           | 206 160 Design filing fee     |          |
| 107           | 490           | 207 245 Plant filing fee      |          |
| 108           | 710           | 208 355 Reissue filing fee    |          |
| 114           | 150           | 214 75 Provisional filing fee |          |
| SUBTOTAL (1)  |               | \$710.00                      |          |

## 2. EXTRA CLAIM FEES

| Extra Claims                | Fee from below          | Fee Paid                      |
|-----------------------------|-------------------------|-------------------------------|
| Total Claims <b>23</b>      | <b>-20** =</b> <b>3</b> | <b>X 18.00 =</b> <b>54.00</b> |
| Independent Claims <b>2</b> | <b>-3** =</b> <b>0</b>  | <b>X 0 =</b> <b>0.00</b>      |
| Multiple Dependent          |                         | =                             |

## Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  |
|---------------|---------------|--|
| 103           | 18            | 203 9 Claims in excess of 20                                     |
| 102           | 80            | 202 40 Independent claims in excess of 3                         |
| 104           | 270           | 204 135 Multiple dependent claim, if not paid                    |
| 109           | 80            | 209 40 ** Reissue independent claims over original patent        |
| 110           | 18            | 210 9 ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2)  |               | \$54.00  |

\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$40.00

## SUBMITTED BY

|                   |                         |                                   |        |           |              |
|-------------------|-------------------------|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Michael K. Kelly        | Registration No. (Attorney/Agent) | 32,848 | Telephone | 602-382-6291 |
| Signature         | <i>Michael K. Kelly</i> |                                   |        | Date      | 09/26/2001   |

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